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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

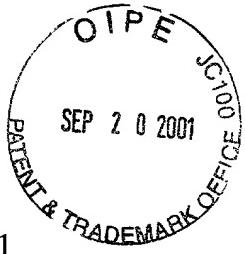
In re Application of:

Scott Fergusson

Serial No.: 09/917,120

Filed: July 27, 2001

For: METHODS AND SYSTEMS FOR ASSISTING FINANCIAL SERVICES FIRMS  
AND THEIR REPRESENTATIVES



Examiner: Unknown

Group Art Unit: 2161

Docket No.: 1137.1101101

Assistant Commissioner for Patents  
Washington, D.C. 20231

**COMMUNICATION**

**CERTIFICATE UNDER 37 C.F.R. 1.10:** The undersigned hereby certifies that this paper or papers, as described herein, are being deposited in the United States Postal Service, "Express Mail Post Office to Addressee" having an Express Mail mailing label number of EL855119505US, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C., 20231 on this 20th day of September, 2001.

By

Jolene Alger

Dear Sir:

To formalize the above-captioned patent application, please find enclosed a copy of the Notice to File Corrected Application Papers, a Letter to the Official Draftsman, and twenty-eight sheets of formal drawings. Any inquiry regarding this matter may be directed to the undersigned representative.

Respectfully submitted,

Scott Fergusson

By his attorney

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Date: September 20, 2001



# UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/917,120	07/27/2001	Scott Fergusson	1137.1101101

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CONFIRMATION NO. 2233

## FORMALITIES LETTER



\*OC000000006529328\*

Date Mailed: 09/07/2001

## NOTICE TO FILE CORRECTED APPLICATION PAPERS

### *Filing Date Granted*

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

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*A copy of this notice **MUST** be returned with the reply.*

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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE